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June 24, 2003 Date Mailed	Luci M. Arevalo Name	<i>Luci M. Arevalo</i> Signature	June 24, 2003 Date

Attorney's Docket No: 41P17103

Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Patent Application of:

Ansheng Liu

Serial No: Not Yet Assigned

Filing Date: Concurrently herewith

For: METHOD AND APPARATUS FOR PHASE  
SHIFTING AN OPTICAL BEAM IN AN  
OPTICAL DEVICE WITH A BUFFER PLUG

Examiner: Not Yet Assigned

Art Unit: Not Yet Assigned

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir/Madam:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents listed on thereon. It is respectfully requested that the listed documents be considered and that the enclosed copy of Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

X 37 C.F.R. §1.97(b).

\_\_\_\_\_ 37 C.F.R. §1.97(c). If so, then enclosed with this Information Disclosure Statement is one of the following:

\_\_\_\_\_ A certification pursuant to 37 C.F.R. §1.97(e) or

\_\_\_\_\_ A check for \$\_\_\_\_\_ for the fee under 37 C.F.R. § 1.17(p).

\_\_\_\_\_ 37 C.F.R. §1.97(d). If so, then enclosed with this Information Disclosure Statement are the following:

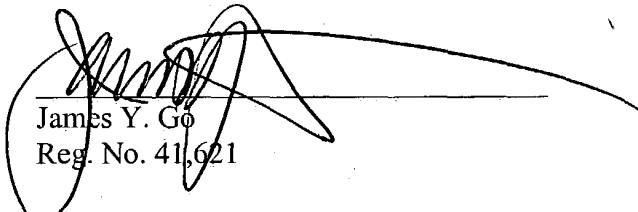
- (1) A certification pursuant to 37 C.F.R. §1.97(e);
- (2) A petition requesting consideration of the Information Disclosure Statement; and
- (3) A check for \$\_\_\_\_\_ for the fee under 37 C.F.R. §1.17(i) for submission of the Information Disclosure Statement.

If there are any additional charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: 6-24-03

  
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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

**Complete if Known**

<b>Sheet</b> 2 <b>of</b> 2	Application Number	New Patent Application
	Filing Date	Concurrently herewith
	First Named Inventor:	Ansheng Liu
	Group Art Unit	Not Yet Assigned
	Examiner Name	Not Yet Assigned
	Attorney Docket Number	42P17103

**OTHER ART – NO PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
	14. ✓	NOWAK, E.D., et al., "Speed, Power, and Yield Comparison of Thin Bonded SOI versus Bulk CMOS Technologies," <i>Proceedings 1994 IEEE International SOI Conference</i> , (October 1994), pp. 41-42.	
	15. ✓	TANG, C.K., et al., "Highly Efficient Optical Phase Modulator In SOI Waveguides," <i>Electronic Letters</i> , Vol. 31, No. 6, (March 16, 1995), pp. 451-452.	
	16. ✓	ZHAO, C.Z., et al., "Silicon-On-Insulator Optical Intensity Modulator Based On Waveguide-Vanishing Effect," <i>Electronic Letters</i> , Vol. 32, No. 18, (August 29, 1996), pp.1667-1668.	
	17.	CUTOLO, A., et al., "Silicon Electro-Optic Modulator Based On A Three Terminal Device Integrated In A Low-Loss Single-Mode SOI Waveguide," <i>Journal of Lightwave Technology</i> , Vol. 15, No. 3, (March 1997), pp. 505-518.	
	18.	DAINESI, P., et al., "CMOS Compatible Fully Integrated Mach-Zehnder Interferometer In SOI Technology," <i>IEEE Photonic Technology Letters</i> , Vol. 12, No. 6, (June 2000), pp. 660-662.	

Examiner Signature	Date Considered
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\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

Unique citation designation number. <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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